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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|-----------------|-------------|----------------------|---------------------|------------------|
| 10/000,445      | 12/04/2001  | Eiji Komatsu         | 32014-176297        | 9186             |

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EXAMINER

RIVERO, MINERVA

ART UNIT PAPER NUMBER

2655

DATE MAILED: 10/29/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

|                              |                                      |                                      |  |
|------------------------------|--------------------------------------|--------------------------------------|--|
| <b>Office Action Summary</b> | <b>Application No.</b><br>10/000,445 | <b>Applicant(s)</b><br>KOMATSU, EIJI |  |
|                              | <b>Examiner</b><br>Minerva Rivero    | <b>Art Unit</b><br>2655              |  |

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-6 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-6 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
     Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
     Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All    b) ☐ Some \*    c) ☐ None of:
1. ☒ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. ____. |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)  | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date <u>12/04/01</u> . | 6) <input type="checkbox"/> Other: ____.  |

## DETAILED ACTION

### ***Claim Rejections - 35 USC § 102***

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

2. Claims 1-6 are rejected under 35 U.S.C. 102(e) as being anticipated by Norton *et al.* (U.S. Patent 6,510,411).

3. Regarding claim 1, Norton *et al.* disclose an interactive speech interface unit comprising:

speech recognition means for recognizing input speech of user utterance and converting the recognized input speech into a character string (Col. 30, Lines 12-15);

input statement means for analyzing the character string and converting the analyzed character string into semantic representation (Natural Language Interpreter, Col. 30, Lines 15-18);

interactive control means for controlling flow of an interactive status and accessing an application (*Dialog Manager*, Col. 30, Lines 45-50);

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output statement means for generating an intermediate language to be outputted to the user (*text-to-speech hardware*, Col. 30, Lines 18-23) and

application interface means for accessing the application using the semantic representation outputted from the interactive control means (*Dialog Manager*, Col. 5, Lines 20-25);

wherein the interactive control means puts series of interactive sequences having calling relations together in a plurality of interactive tasks in association with relations and includes an interactive task hierarchical data base for storing the interactive tasks in a hierarchical structure (*tree*, Col. 3, Lines 32-48; Fig. 2B; Col. 31, Lines 2-8).

4. Regarding claim 2, Norton *et al.* disclose

wherein lower interactive tasks in the hierarchical structure are prepared to include all sub-interactive sequences which are needed for an upper interactive task (Col. 4, Lines 55-59; Fig. 2A).

5. Regarding claim 3, Norton *et al.* disclose

an interactive task chaining means for extracting an upper/lower chain of the interactive tasks during execution of a dialog and dynamically switching interactive sequences (*see successful processing of a volunteered value*, Col 26, Line 62 – Col. 27, Line 2; Col. 30, Lines 30-37). [The disclosed system is capable of dynamically switching sequences (i.e. during run-time) or tasks if the user has submitted a value that said system did not expect or request at the particular state of the sequence.]

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6. Regarding claim 4, Norton *et al.* disclose wherein the interactive control means further comprises:

a keyword/bookmark catalog interactive control sequence storage means (*task model*, Col. 3, Lines 28-34; Fig. 1, element 180)

a keyword/bookmark storage means (*name*, Col. 8, Lines 19-31);

a user interactive sequence catalog interactive sequence storage means (Col. 3, Lines 28-34; Fig. 1, element 180; Fig. 4; Col. 14, Lines 22-35) and

a user interactive sequence storage means, whereby catalog functions of the interactive sequence by a user are added so as to change flow of a dialog by the user (Col. 30, Lines 45-50).

7. Regarding claim 5, Norton *et al.* further disclose

wherein the interactive control means receives semantic representation including recognized character string from the input statement analysis means, deciding as to whether a keyword corresponding to a present interactive status is included in the recognized character string (*speech recognizer*, Col. 30, Lines 12-23; '*side order*', Col. 9, Line 2; Col. 16, Lines 56-59).[The user is able to define a task (set of sequences) as shown in Fig. 4. Such task will be characterized by a name (*keyword*).]

8. Regarding claim 6, Norton *et al.* disclose

wherein the switching of the interactive sequences is implemented by describing

and rewriting the interactive sequence as an action of an interactive procedure (Col. 30, Lines 30-37; *successful processing of a volunteered value*, Col. 26, Line 62 – Col. 27, Line 2).

### ***Conclusion***

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Scholz *et al.* (U.S. Patent 6,094,635) teach an interactive response system wherein valid input utterances are predefined and accompanied by a token to aid in semantic disambiguation. Cohen *et al.* (U.S. Patent 6,560,576) disclose a voice-enabled application wherein dialog states for different users are monitored and stored for possible use of a dialog-state dependent help module.

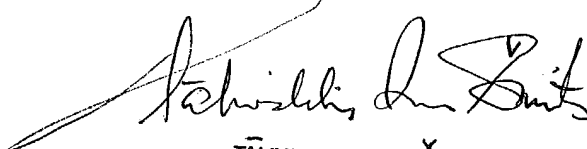
Any inquiry concerning this communication or earlier communications from the examiner should be directed to Minerva Rivero whose telephone number is (703) 605-4377. The examiner can normally be reached on Monday-Friday 8:30 am - 5:30 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Talivaldis Ivars Smits can be reached on (703) 306-3011. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

MR 10/26/04



TĀLIVALDIS IVARS ŠMITS  
PRIMARY EXAMINER